

Our File No: 11157-14

BERESKIN & PARR
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August 24, 2000

The Commissioner of Patents & Trademarks
Washington, D.C., U.S.A. 20231

Dear Sir:

Transmitted herewith for filing is the patent application of

Inventors: **Malcolm King**

For: **Use of Charged Dextran as a Mucoactive Agent and Methods and Pharmaceutical Compositions Relating Thereto**

The following papers are also enclosed:

- [X] 5 sheets of X Formal drawings _____ Informal drawings
- [X] A Declaration (Unsigned)

	Number Extra	Full Rate	Small Entity Rate	Total
Total Claims	28 - 20 = 8 X	\$ 18.00	\$ 9.00	\$72.00
Independent Claims	3 - 3 = 0 X	\$ 78.00	\$ 39.00	\$0.00
Multiple Claims	Flat Rate	\$260.00	\$130.00	\$0.00

Basic Fee = \$345.00
TOTAL FEES = \$417.00

- [X] Please charge Deposit Account No. 02-2095 in the amount of \$ 417.00. This letter is enclosed in duplicate.
- [X] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Account No. 02-2095. This letter is enclosed in duplicate.
- [] Payment Of The Filing Fee Is Being Deferred.
- [] Related application. This application is a _____ Division _____ Continuation
_____ Continuation-in-part of application Serial No. _____, filed _____.
- [X] Convention priority is requested based on U.S. Provisional Application Serial No. 60/150,605 filed August 26, 2000 under 35 USC §119(e).

Respectfully submitted,

Micheline Gravelle
Registration No. 40,261

BERESKIN & PARR

BOX 401, 40 KING STREET WEST, TORONTO, CANADA M5H 3Y2
PHONE (416) 364-7311 • FAX (416) 361-1398 • WWW.BERESKINPARR.COMPlease type a plus sign (+) inside this box → ☐

PTO/SB/05 (4/98)

Applicable through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. 11157-14

First Inventor or Application Identifier Malcolm King

Title Use of Charged Dextran As A Mucoactive Agent and ...

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification (Total Pages
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Micro fiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawin g(s)(35 U.S.C. 113) [Total Sheets
4. Oath or Declaration [Total Pages]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement ☐ Power of
(when there is an assignee) ☐ Attorney
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure ☐ Copies of IDS
Statement (IDS)/PTO-1449 ☐ Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
13. ☐ * Small Entity ☐ Statement filed in prior application,
Statement(s) ☐ Status still proper and desired
(PTO/SB/09-12)
14. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
15. ☒ Other: Unsigned Declaration

* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY
FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT
IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____

Prior application information: Examiner _____ Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

1059

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

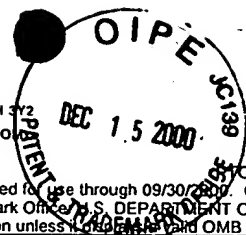
Name	Bereskin & Parr				
Address	Box 401 40 King Street West				
City	Toronto	State	Ontario	Zip Code	M5H 3Y2
Country	Canada	Telephone	(416) 364-7311	Fax	(416) 361-1398

Name (Print/Type)	Micheline Gravelle	Registration No. (Attorney/Agent)	40,261
Signature	<i>M. Gravelle</i>	Date	August 24, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Office, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

BERESKIN & PARR

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Approved for use through 09/30/2009. OMB 0651-0032
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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<h2 style="text-align: center;">FEE TRANSMITTAL</h2> <h3 style="text-align: center;">for FY 2000</h3> <p style="text-align: center;"><i>Patent fees are subject to annual revision.</i></p> <p style="text-align: center;"><i>Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.</i></p>		Complete if Known	
		Application Number	
		Filing Date	
		First Named Inventor	Malcolm King
		Examiner Name	
		Group / Art Unit	
TOTAL AMOUNT OF PAYMENT		(\$)	417.00
		Attorney Docket No.	11157-14

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																																																																																																																																																			
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number: 022095</p> <p>Deposit Account Name: Bereskin & Parr</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17</p> <p>2. <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>		<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet.</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>380</td><td>216</td><td>190</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>870</td><td>217</td><td>435</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,360</td><td>218</td><td>680</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,850</td><td>228</td><td>925</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>300</td><td>219</td><td>150</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>300</td><td>220</td><td>150</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>260</td><td>221</td><td>130</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - 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SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Micheline Gravelle	Registration No. (Attorney/Agent)	40,261
Signature	<i>Micheline Gravelle</i>	Telephone	(416) 364-7311
		Date	August 24, 2000

WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



December 14, 2000

03 W
Bereskin & Parr



Sector

Barristers and Solicitors/Patent and Trade Mark Agents
Practice Restricted to Intellectual Property Law

Micheline Gravelle B.Sc., M.Sc. (Immunol.)
416 957 1682 mgravelle@bereskinparr.com

Your Reference: 09/645,594
Our Reference: 11157-14

Commissioner for Patents and Trademarks
Washington, D.C. 20231
U.S.A.

Attention: Box Missing Parts

Dear Sir:

Re: NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION
United States Patent Application No. 09/645,594
Entitled: Use of Charged Dextran as a Mucoactive Agent and Methods
and Pharmaceutical Compositions Relating Thereto
Inventors: Malcolm King
Filing Date: August 25, 2000
Grp Art Unit: 1615

This is in response to the Notice to File Missing Parts of Nonprovisional Application -
Filing Date Granted mailed October 16, 2000, a copy of which we attach.

In accordance with the provisions of 37 C.F.R. §1.53, applicant hereby submits an
executed Declaration for Patent Application of inventor **Malcolm King**.

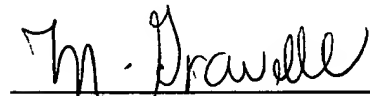
With respect to paying the filing fees, please note that the fees were to be deducted
from our Deposit Account No. 02-2095 upon filing of the application. A copy of our
forms instructing the United States Patent Office to deduct the fees is enclosed for
your records.

Accordingly, if the fees have not been deducted, the Commissioner is authorized to charge \$482.00 to Deposit Account No. 02-2095, in respect of (1) the filing fee of \$345.00; (2) the additional claim fee of \$72.00; and (3) the government surcharge of \$65.00.00. A duplicate copy of this sheet is enclosed. Applicant claims small entity status under CFR §1.27.

If any additional fee is due, including a fee for an extension of time, such an extension is hereby requested and the Commissioner is authorized to charge any such fee to Deposit Account No. 02-2095.

Respectfully submitted,

MALCOLM KING



Micheline Gravelle
Registration No. 40,261

Bereskin & Parr
Box 401, 40 King Street West
Toronto, Ontario, Canada
M5H 3Y2

Tel. (416) 364-7311